

Docket No. LUMIP0128US



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re patent application of

Applicant: Jeffrey B. Williams, et al  
Serial No.: 09/935,958  
Filed: August 23, 2001  
For: LIGHT DELIVERY SYSTEMS AND APPLICATIONS THEREOF

Art Unit: 2875  
Examiner:

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents  
U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

1. Pursuant to 37 C.F.R. 1.97 and 1.98, and in compliance with 37 C.F.R. 1.56, the Office's attention is directed to the patents, pending applications, publications and other information listed on the attached PTO-1449. A copy of each listed document is enclosed except for: (a) pending applications or (b) those previously cited or submitted to the Office in the following application(s) upon which this application relies for an earlier filing date under 35 U.S.C. 120:

Serial No.: 09/735,104  
Filing Date: 12/12/00

Serial No.: 09/120,406, Pat. 6,185,356  
Filing Date: 7/22/98, issued February 6, 2001

Serial No.: 08/886,666  
Filing Date: July 2, 1997

Regarding any document, publication or other information for which a date is not given on the attached PTO-1449, Applicant(s) believe(s) the same may qualify as "prior" art to this application and should be treated accordingly, although Applicant(s) reserve(s) the right to contest the prior art status of any document, publication or information, should issue arise.

2. Regarding each listed document that is not in the English language, an English-language translation accompanies this Statement as indicated on the attached PTO-1449 or a concise explanation of the relevance of the document is set forth in the following document(s):

- (a) ☐ Copy of each English language version of a search report indicating the degree of relevance found by the foreign office of each document being submitted from the search report.
- (b) ☐ Attachment entitled "Concise Explanation of Relevance of Non-English Language Documents".

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3. Pursuant to 37 C.F.R. 1.97(b) this Statement is being filed (one must be checked):

- (a) ☒ Within 3 months of the filing date, date of entry into the National Stage, or filing date of CPA.
- (b) ☐ Before the mailing date of a first Office Action on the merits. If this Statement is not filed before the mailing date of a first Office Action on the merits, the required certification is given below or, in the absence thereof, the Office is authorized to charge the required fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988 for consideration of this Statement.
- (c) ☐ Before the mailing date of a first Office Action on the merits after a first or second submission after final rejection under 37 C.F.R. 1.129(a).
- (d) ☐ After the period set forth in 37 C.F.R. 1.97(b) but before the mailing date of either a final action or a notice of allowance.
- (1) ☐ The required certification is given below, or
- (2) ☐ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p) for consideration of this Statement, or
- (3) ☐ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988
- (e) ☐ After the mailing date of either a final action or a notice of allowance, but before payment of the issue fee. Petition hereby is made for consideration of this Statement and the required certification is indicated below.
- (1) ☐ Enclosed is a check covering the fee set forth in 37 C.F.R. 1.17(p), or
- (2) ☐ Charge the fee set forth in 37 C.F.R. 1.17(p) to Deposit Account No. 18-0988.

4. Certification (if applicable)

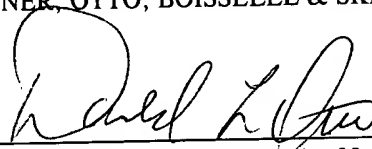
- (a) ☐ The undersigned hereby certifies that each item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than 3 months prior to the filing of this Statement.
- (b) ☐ The undersigned hereby certifies that no item of information contained in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the undersigned's knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. 1.56(c) more than 3 months prior to the filing of this Statement.

5. The Commissioner is hereby authorized to charge any additional fees or credit any overpayment to Deposit Account No. 18-0988.

Respectfully Submitted,

RENNER, OTTO, BOISSELLE & SKLAR, LLP

By



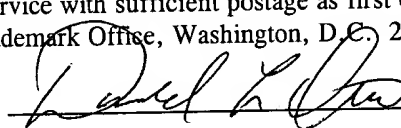
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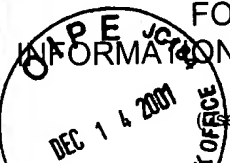
CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8

I hereby certify that this correspondence (along with any paper referenced as being attached or enclosed) is being deposited on the below date with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to Commissioner for Patents, U.S. Patent and Trademark Office, Washington, D.C. 20231.

Date: November 19, 2001



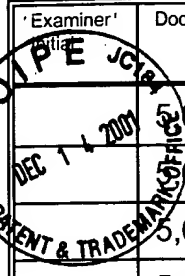
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Form PTO-1449 (Modified)	Atty Docket No.	Serial No.
<b>LIST OF PATENTS AND PUBLICATIONS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT</b> 	LUMIP0128US	09/935,958
	Applicant: Jeffrey B. Williams, et al	
	Filing Date August 23, 2001	Group 2875

(Use several sheets if necessary)

## U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Sub-class	Filing Date if Appropriate
	3,328,570	6/1967	Balchunas			
	3,680,546	8/1972	Asrican			
	3,712,705	1/1973	Marcatili			
	3,807,393	4/1974	McDonald			
	3,890,960	6/1975	Wunsch et al			
	3,901,674	8/1975	Stack et al			
	3,950,073	4/1976	Horiguchi et al			
	4,043,636	8/1977	Eberhardt et al			
	4,052,980	10/1977	Grams et al			
	4,226,228	10/1980	Shin et al			
	4,337,763	7/1982	Petrassevich			
	4,471,412	9/1984	Mori			
	4,562,832	1/1986	Wilder et al			
	4,597,030	6/1986	Brody et al			
	4,686,972	8/1987	Kurland			
	4,714,983	12/1987	Lang			
	4,733,332	3/1988	Yamashita et al			
	4,765,701	8/1988	Cheslak			
	4,785,796	11/1988	Mattson			
	4,790,751	12/1988	Reinhardt et al			
	4,790,752	12/1988	Cheslak			
	4,807,599	2/1989	Robinson et al			
	4,968,124	11/1990	Deckert et al			
	4,974,122	11/1990	Shaw			
	5,005,108	4/1991	Pristash et al			



Examiner	Document Number	Date	Name	Class	Sub-class	Filing Date if Appropriate
	5,035,232	7/1991	Lutze et al			
	5,039,198	8/1991	VanBeek			
	5,052,778	10/1991	Jamshid			
	5,097,396	3/1992	Myers			
	5,136,480	8/1992	Pristash et al			
	5,159,921	11/1992	Hoover			
	5,209,757	5/1993	Krug et al			
	5,226,105	7/1993	Myers			
	5,237,985	8/1993	Hodgson et al			
	5,281,134	1/1994	Schultz			
	5,295,216	3/1994	Halter			
	5,303,323	4/1994	Mezei			
	5,307,245	4/1994	Myers et al			
	5,312,569	5/1994	Mezei			
	5,312,570	5/1994	Halter			
	5,394,863	3/1995	Sanford et al			
	5,431,153	7/1995	Lee			
	5,499,912	3/1996	Mezei			
	5,520,611	5/1996	Rao et al			
	5,571,215	11/1996	Sterman et al			
	5,618,096	4/1997	Parker et al			
	5,667,480	9/1997	Knight et al (enclosed)			
	5,967,971	10/1999	Bolser (enclosed)			
	5,982,969	11/1999	Sugiyama et al			
	6,007,487	12/1999	Foley et al (enclosed)			

## FOREIGN PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Country	Class	Sub-class	Translation	
						Yes	No
	2 133 694	11/1983	GB (enclosed)				
	86 00 868	4/1986	DE				
	86 07 483	7/1986	DE				
	4234050A1	6/1993	DE				
	PCT/US95/15117	6/1996	WO				
	PCT/US96/07512	11/1996	WO				
	PCT/US98/13628	7/1998	WO (enclosed)				

## OTHER ART

Examiner Initial	Author, Title, Date, Pertinent Pages, etc.
	General Surgery & Laparoscopy News, Bioenterics Corporation - EndoLumina II Illuminated Bougie, Aug. 1997

EXAMINER	DATE CONSIDERED
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Information Disclosure Statement PTO-1449 (Modified)

The identification of any reference is not intended to be, and should not be understood as being, an admission that such publication, in fact, constitutes "prior art" within the meaning of applicable law since, for example, a given reference may have a later effective date than first seems apparent or the reference may have an effective date which can be antedated. The "prior art" status of any reference is a matter to be resolved during prosecution.

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